STATE OF ILLINOIS SECRETARY OF STATE SECURITIES DEPARTMENT

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IN THE MATTER	OF: ERIC WILLIAM	JOHNSON)	FILE NO. 1400453
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SUMMARY ORDER OF PROHIBITION

TO THE RESPONDENT:

ERIC WILLIAM JOHNSON

(CRD # 2142522) 609 South Jackson Hinsdale, Illinois 60521

WHEREAS, pursuant to the authority granted under Section 11.F(7) of the Illinois Securities Law of 1953 [815 ILCS 5/1 et seq.] (the "Act"), the Secretary of State has determined that the Respondent's registration as a Salesperson and as an Investor Advisor Representative in the State of Illinois are each subject to a Summary Order of Prohibition;

WHEREAS, the Secretary of State finds that the grounds for such Summary Order of Prohibition are as follows:

- 1. That Eric William Johnson ("Respondent") was registered with the State of Illinois as a Salesperson from July 5, 1999 through September 24, 2014 and as an Investor Advisor Representative from October 30, 2002 through September 24, 2014.
- 2. That Section 11.F(7) provides inter alia, that whenever the Secretary of State finds that a person is currently expelled from, refused membership in or association with, or limited in any material capacity by a self-regulatory organization registered under the Federal 1934 Act or Federal 1974 Act because a fraudulent or deceptive act or a practice in violation of a rule, regulation, or standard duly promulgated by the self-regulatory organization, the Secretary of State may enter a Summary Order of Prohibition.
- 3. That FINRA is a self-regulatory organization as specified in Section 11.F(7) of the Act.
- 4. That on October 7, 2014 FINRA accepted the Respondent's Letter of Acceptance, Waiver and Consent which imposed a bar upon the Respondent in all capacities from association with any FINRA member.

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5. That FINRA found:

"Respondent violated NASD Rules 2330(a) and 2110 and FINRA Rules 2150(a) and 2010, by misappropriating more than \$1,000,000 from at least six Firm customers' brokerage accounts. Respondent violated NASD Rule 2110 and FINRA Rule 2010, by falsifying, or causing to be falsified, the signatures of two Firm employees and notarized seals on Firm documents."

6. That by virtue of the foregoing, the Respondent is subject to a Summary Order of Prohibition pursuant to Section 11.F(7) of the Act.

NOW THEREFORE IT IS HEREBY ORDERED THAT: pursuant to the authority granted by Section 11.F of the Act, Respondent Eric William Johnson is PROHIBITED from offering or selling securities in or from this State until the further Order of the Secretary of State.

NOTICE is hereby given that Respondent may request a hearing on this matter by transmitting such request in writing to Tanya Solov, Director, Illinois Securities Department, 69 West Washington Street, Suite 1220, Chicago, Illinois 60602. Such request must be made within thirty (30) calendar days of the date of entry of the Summary Order of Prohibition. Upon receipt of a request for hearing, a hearing will be scheduled as soon as reasonable practicable. A request for hearing will not stop the effectiveness of this Summary Order and will extend the effectiveness of this Summary Order for sixty days from the date the hearing request is received by the Department.

FAILURE BY ANY RESPONDENT TO REQUEST A HEARING WITHIN THIRTY (30) CALENDAR DAYS AFTER ENTRY OF THIS SUMMARY ORDER OF PROHIBITION SHALL CONSTITUTE AN ADMISSION OF ANY FACTS ALLEGED HEREIN AND SHALL CONSTITUTE SUFFICIENT BASIS TO MAKE THIS SUMMARY ORDER OF PROHIBITION FINAL.

Dated: This 3 day of March 2015.

JESSE WHITE Secretary of State State of Illinois

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Attorney for the Secretary of State:

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